

Stewardship and Oversight Agreement

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Stewardship and Oversight Agreement

Federal Highway Administration and Utah Department of Transportation

Purpose

The purpose of this Stewardship and Oversight Agreement is to formalize the roles and responsibilities of the Federal Highway Administration (FHWA), Utah Division and the Utah Department of Transportation (UDOT) in administering the Federal-Aid Highway Program (FAHP). This Stewardship and Oversight Agreement outlines a consistent risk-based approach for the FHWA, Utah Division and the UDOT to effectively and efficiently manage the public funds and to ensure the FAHP is delivered in accordance with laws, regulations, policies, and good business practices. The FHWA and the UDOT administer the FAHP through program and project management, and utilize a number of management tools to monitor the health of the FAHP including performance indicators/measures, program assessments such as the Risk Management Framework and the Program Delivery Improvement Tool (PDIT), program reviews including the Financial Integrity Review and Evaluation (FIRE) Program, and other tools. The UDOT accepts responsibility as the project approval authority for delegated activities in accordance with Section 106 of Title 23, United States Code (USC). The FHWA retains overall responsibility for the FAHP and this Agreement does not preclude the FHWA from accessing or reviewing any Federal-aid program and/or project.

Background and Introduction

Section 106 of Title 23, United States Code, requires the FHWA and the UDOT to enter into an agreement that documents the delegation of responsibilities. The FHWA Stewardship/Oversight Agreement Guidance issued May 8, 2006, encouraged all division offices to implement a comprehensive approach in developing their Stewardship and Oversight Agreement. The Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005 further defined the requirements of stewardship and oversight responsibilities including increased efforts pertaining to major projects. SAFETEA-LU builds on the foundation of two laws that brought surface transportation into the 21st century – the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) and the Transportation Equity Act for the 21st Century (TEA-21) of 1998. SAFETEA-LU promotes more efficient and effective federal surface transportation programs by focusing on transportation issues of national significance while giving state and local

transportation decision makers the ability to enhance transportation systems and implement innovative solutions to transportation challenges. The FHWA is charged with administering the FAHP under Title 23 of the Code of Federal Regulations (CFR) and associated laws. SAFETEA-LU and the two preceding transportation laws allow the UDOT to accept certain delegated responsibilities for the FHWA including approvals related to the National Environmental Policy Act (NEPA), design, award, and construction of Federal-aid projects. This Agreement outlines the framework by which the FHWA and the UDOT will administer the FAHP efficiently and effectively to maintain a national highway network, improve operation, improve safety, and provide for national security while protecting and improving the environment. This Agreement addresses the comprehensive approach in administering the FAHP through stewardship and delegated roles and responsibilities to the UDOT.

Division and State Roles and Responsibilities

The FAHP roles and responsibilities are jointly administered by both agencies. This Agreement describes State versus Federal roles and responsibilities for each of the following program areas:

- a. Civil Rights
- b. Construction
- c. Design
- d. Environment
- e. Finance
- f. Operations
- g. Planning
- h. Research
- i. Right-of-Way
- j. Safety
- k. Transportation Systems Preservation

Roles and responsibilities are discussed further in this Agreement under Program and Project Responsibilities.

Federal Highway Administration, Utah Division

The FHWA will monitor the FAHP and maintains review and/or approval authority (as defined in Appendix B and C) of non-delegated activities. In addition, the FHWA and the UDOT are responsible for ensuring financial integrity and compliance with applicable laws and regulations. The FHWA is accountable for the FAHP and ensuring that it is delivered in an efficient and effective manner. The FHWA can review any program or project including those that have unique features, high-risk elements, unusual circumstances, or projects included in program and/or process reviews.

Utah Department of Transportation

The UDOT is empowered through delegation as provided under Federal law to monitor, review and/or approve activities

related to the use of Federal-aid funds. The UDOT, in conformance with Title 23, USC accepts responsibilities for delegated duties in this Agreement. The UDOT is responsible for administering the FAHP in a manner that ensures efficient and effective use of the Federal-aid funds and compliance with federal laws and regulations.

Methods of Stewardship and Oversight

The FHWA and the UDOT will jointly administer the FAHP through methods of oversight that include Performance Indicators/Measures, Program Assessments, Program Reviews, and Program Management and contribute to the development of a Risk-Based Action Plan. The following is a detailed description of each technique used in providing stewardship and oversight of the FAHP:

Performance Indicators/Measures – Performance indicators/measures will be used to help assess the health of the FAHP on an ongoing basis enabling the FHWA and the UDOT to monitor program performance and proactively implement corrective actions when needed. The indicators/measures will also serve as a tool in conducting annual risk assessments and may trigger program reviews or program management techniques such as project inspections and/or project document reviews. At a minimum, the indicators/measures will be used to cover the eleven core program areas and will be arranged in a dashboard format that will be updated monthly, quarterly, or annually depending on the indicator/measure. A more detailed description of the performance indicators/measures is discussed later in this document. The performance indicators/measures may change as they are developed and used. Changes will be incorporated as needed.

Program Assessments – Program assessments provide another avenue to determine the performance of the FAHP. Assessments include joint risk assessments (Risk Management

Framework), self-assessments, the PDIT, and others. These tools are based on the common concepts of identifying strengths, areas of concern, opportunities, and sharing “best” practices to continually improve the programs. Program assessments may be triggered by national requirements/initiatives or the desire to strive for continual improvement.

Program Reviews – The FHWA and the UDOT will manage the program through analysis of program components and processes. Individuals or teams from the FHWA and/or the UDOT and/or other stakeholder groups or organizations can conduct reviews. The reviews will:

- a. Ensure compliance with Federal requirements
- b. Identify opportunities for greater efficiencies and improvements to the program
- c. Identify exemplary practices
- d. Identify areas that need attention and make recommendations for improvement

These reviews may be referred to as program improvement reviews, process reviews, program/product evaluations, or continuous process improvement initiatives. Program reviews are often triggered by risk assessments or performance indicators/measures that suggest a need for improvement. Performance indicators/measures may also be developed as a part of program reviews to help highlight and quantify successes and problem areas.

Examples of program reviews are those conducted through the FIRE program, which is a review and oversight program in support of the FHWA’s annual certification of internal and financial controls. The annual certification satisfies the financial, accounting and reporting requirements of the Federal Managers’ Financial Integrity Act (FMFIA) of 1982. Required reviews include a Financial Management Review (selected from the risk assessment), Improper Payments Review, Inactive Federal-aid Project Review, Administrative Reviews, a review of the UDOT’s Single Audit Review, and a Federal Audit

Findings Review. Reviews are conducted to ensure financial integrity.

Program Management – Program management refers to the FHWA’s daily stewardship of the FAHP including project and program oversight, and program assistance. Program management ensures Federal program requirements are met while proactively seeking opportunities to add value by:

- a. Promoting new initiatives and concepts
- b. Continually assessing the program through routine involvement in program and project level activities including inspections
- c. Conducting routine program and project approval actions
- d. Participating on joint task forces, joint committees, and joint quality improvement teams
- e. Assisting transportation stakeholders by answering questions related to program and project issues

Risk-Based Action Plan

The Risk-Based Action Plan delineates the focus of limited resources and time. Each spring the FHWA and the UDOT will jointly and collaboratively evaluate the performance indicators/measures and assess the current health of the FAHP using the PDIT. The findings will be incorporated into the formalized Risk Management Framework (risk assessment) to establish focus areas and implement methods of action to be taken.

The FHWA and the UDOT will schedule formal meetings to conduct the risk assessment in March/April. The final plan will include a list of action items, responsible parties, and due dates. It will be drafted by June 30, and finalized by September 30. Coordination will continuously occur between these dates. This will allow the FHWA and the UDOT to balance risk, efficiently allocate staffing resources, provide for adequate funding, and effectively and efficiently deliver the FAHP.

The plan can be adjusted from time to time to accommodate changing conditions.

Control Documents

Control documents include standards, policies, and specifications that are acceptable to the FHWA and the UDOT for application in Federal-aid projects. The control documents in the appendix explain the FHWA and the UDOT agreements that comply with specific control standards. In assuming program/project-level responsibilities under Title 23, USC and SAFETEA-LU, the UDOT agrees to comply with the FHWA approved standards in accordance with 23 CFR and related Federal regulations and policies. The FHWA and the UDOT agree on the responsibilities and delegated authority of the control documents in the appendices. Changes will require the agreement of both parties including those amended by addendum.

Performance Indicators/Measures

Performance indicators/measures are incorporated and used in this agreement to help assess performance in administering the FAHP requirements and to help determine whether funds are being effectively utilized to improve the transportation system. Performance indicators/measures will be posted on the UDOT innerweb and updated monthly, quarterly, or annually depending on the measure.

The performance indicators/measures consist of three tiers and are based on information continuously updated through the UDOT data management systems. The indicators will change as methods change.

Tier 1 – Tier 1 includes 1-3 key measures per program area that leaders will evaluate routinely to assess overall program performance. Target indicators are included on the first tier to track how well targets are being met on

previously selected criteria. Tier 1 is a two-page executive summary of Tier 2 measures.

Tier 2 – Tier 2 may include the same measures as Tier 1, but are further refined by unit, location, or other criteria to help program managers more closely identify problem areas. Additionally, Tier 2 may include measures that address other aspects of the program important to program managers. Tier 2 may be reviewed by leaders as desired, but most often only when the corresponding Tier 1 measures indicate a need.

Tier 3 – Tier 3 measures may include any additional measures or performance reports developed by the UDOT independently or in coordination with the FHWA to help program managers monitor program progress.

The performance indicators/measures of this Stewardship and Oversight Agreement are developed as a joint effort between the FHWA and the UDOT and involve program managers in all eleven of the previously identified program areas. Maintaining, updating, and improving the performance indicators/measures are the continuous responsibility of the FHWA and the UDOT. These performance indicators/measures are subject to modification or change as business measures change. Measures in all tiers can be evaluated at any time by the FHWA and the UDOT.

Appendix A is a working draft of the Utah Stewardship Dashboard and contains an example of the Tier 1 measures for ten of the eleven program areas and Tier 2 measures for the Safety Program. The target date for completing the development and implementation of performance indicators/measures is September 1, 2006.

Program and Project Responsibilities

The FHWA and the UDOT will review, monitor, and approve activities as necessary in the designated areas of responsibility to comply with applicable laws, regulations, directives, and standards as defined in detail in the Utah Program Responsibility matrix (Appendix B) and the Utah Project Responsibility matrix (Appendix C).

The FHWA maintains authority for the actions and approvals in, but not limited to, the following categories:

- a. Planning and programming oversight specified in Title 23, USC
- b. Federal air quality conformity determinations required by the Clean Air Act
- c. Obligation of funds
- d. Waivers to Buy America requirements (FHWA approval required as noted in Mr. Horne's July 3, 2003 memorandum)
- e. SEP-14/SEP-15 methods (FHWA approval required for experimental contracting/project delivery methods)
- f. Civil Rights program approvals
- g. Environmental approvals except those specifically delegated under Sections 6004 and 6005 of SAFETEA-LU
- h. Addition of access points on the Interstate System
- i. Use of Interstate airspace for non-highway-related purposes
- j. Hardship acquisition and protective buying
- k. Modifications to project agreements
- l. Final vouchers

Program Responsibility

The Utah Program Responsibility matrix defines the program level activities, roles, responsibilities, and the approval authorities where applicable. The Utah Program Responsibility matrix is broken down by program area and outlines the frequency of approvals and actions, identifies regulatory

references, and provides the FHWA and the UDOT contact information.

Project Responsibility

The Utah Project Responsibility matrix identifies the responsible agency for project level actions. It is broken down by High Profile Projects, National Highway System (NHS) Projects, and non-NHS Projects. High Profile Projects will be identified and agreed to by the FHWA and the UDOT. The FHWA will have increased oversight and approval authority on projects where issues/controversy warrant. These projects are anticipated to be few and should be justified as to why they are considered high profile. All other Federal-aid projects including Interstate, NHS (non-Interstate), and non-NHS categories will be delegated, as outlined in the matrix, to the UDOT and monitored via Performance Indicators/Measures, Program Assessments, and Program Reviews. The delegation of projects to the UDOT does not preclude the FHWA from conducting project level activities as identified through the PDIT, Risk Management Framework and/or performance indicators/measures. These activities include project inspections, document reviews, and other day-to-day program management activities.

Projects identified as major projects (greater than \$500 million) will be administered in accordance with SAFETEA-LU requirements including an approved Project Management Plan. The Project Management Plan will be project specific and documents the roles and responsibilities of both agencies. This includes procedures and processes to effectively manage the scope, costs, schedule, quality, and other stewardship and oversight activities necessary to meet Federal requirements.

Projects with approval authority delegated to the UDOT are not subject to further approvals by the FHWA unless both agencies agree. This agreement allows the FHWA to review any programs and/or projects that have unique features, high-risk

elements, unusual circumstances, or if the project is included in a program or process review.

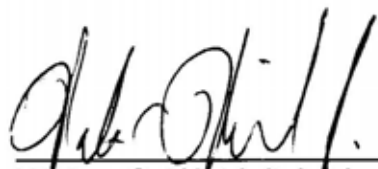
Title 23, USC and 23 CFR requirements apply to all Federal-aid projects. The UDOT minimal approval and oversight responsibilities, on all delegated elements of the program, include the following:

- a. The UDOT complies with Title 23, USC and certain non-Title 23, USC Federal-aid program requirements, such as metropolitan and statewide planning, environment, procurement of engineering and design related service contracts, Title VI of the Civil Rights Act, participation by disadvantaged business enterprises (DBE), prevailing wage rates, and acquisition of right-of-way.
- b. The UDOT assures that approval for right-of-way; utility; environmental; railroad; design; Plans, Specifications, and Estimates (PS&E); related activities; design exceptions; concurrence in award; and construction-related activities are performed in accordance with State policies, practices, and standards and in accordance with all requirements of Title 23, USC.

- c. The UDOT provides the necessary review and approval to assure compliance with Federal requirements for delegated projects or programs that are developed and administered by local agencies. The UDOT is responsible for determining that sub-recipients of Federal funds have adequate staffing, project delivery systems, and sufficient accounting control. The UDOT is ultimately accountable to the FHWA for ensuring compliance with the FAHP requirements on such projects.

This Stewardship and Oversight Agreement between the FHWA, Utah Division and the UDOT lists responsibilities and procedures required to administer the FAHP. Techniques used to determine where Program Reviews and Program Management activities will be focused include Performance Indicators/Measures and Program Assessments. The UDOT agrees to comply with the responsibilities and requirements in Title 23, USC, SAFETEA-LU, 23 CFR, and related Federal laws, regulations, and policies for successful delegation of Stewardship and Oversight responsibilities.

The FHWA and the UDOT enter into this Stewardship and Oversight Agreement to carry out respective responsibilities with mutual cooperation and collaboration. This agreement does not relieve either party from accountability for compliance with Federal laws and regulations of the FAHP. Signatures on this Stewardship and Oversight Agreement by the FHWA and the UDOT acknowledge delegation of responsibilities for stewardship and oversight under the provisions of SAFETEA-LU.



Walter C. Waidelich, Jr.
Division Administrator
Federal Highway Administration

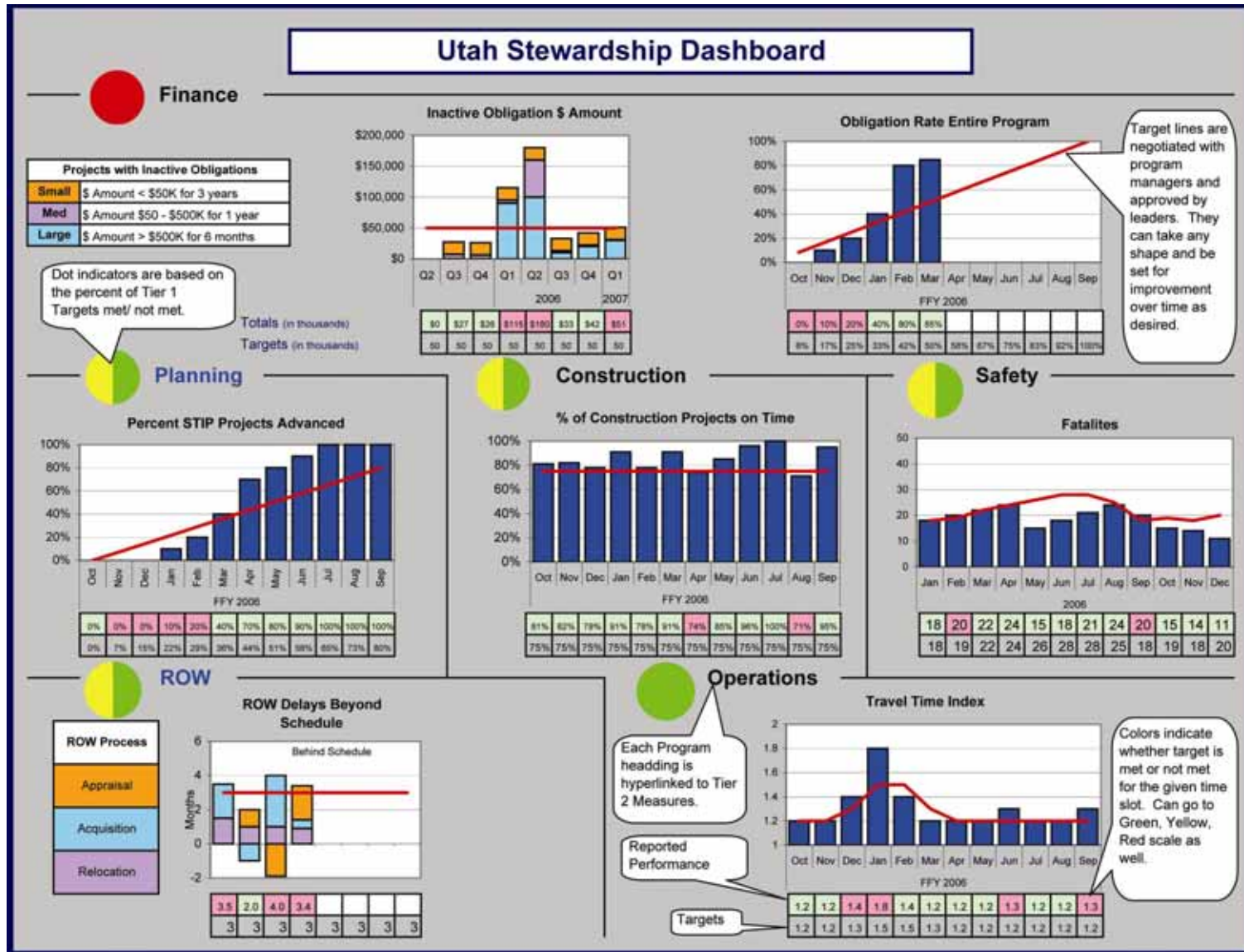
7/11/06
Date



John R. Njord
Executive Director
Utah Department of Transportation

7-13-06
Date

APPENDIX A – TIER 1

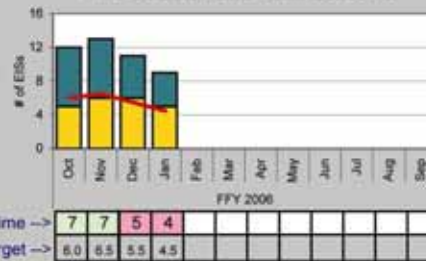


Utah Stewardship Dashboard Page 2

Environment



of EISs Ahead and Behind Schedule



of EAs Ahead and Behind Schedule



System Preservation

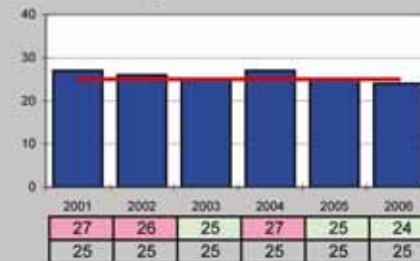
% VMT on Roads w/ IRI < 95



% Bridge Deck Deficient on NHS



% Bridge Deck Deficient off NHS

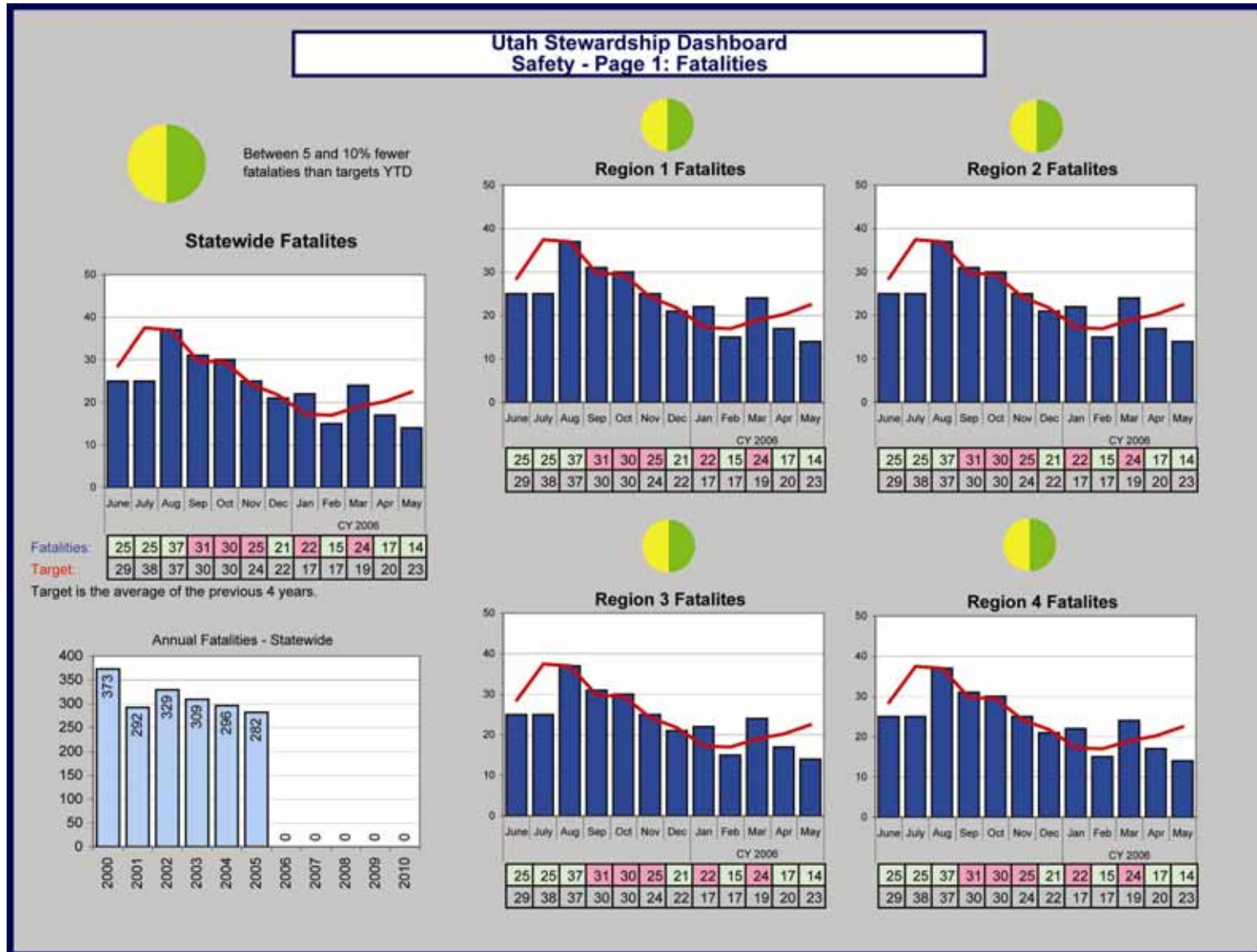


Design

% of Projects Advertised within Schedule



APPENDIX A – TIER 2



Utah Stewardship Dashboard Safety - Page 2: Lane Departure Fatalities



Between 5 and 10% fewer fatalities than targets YTD

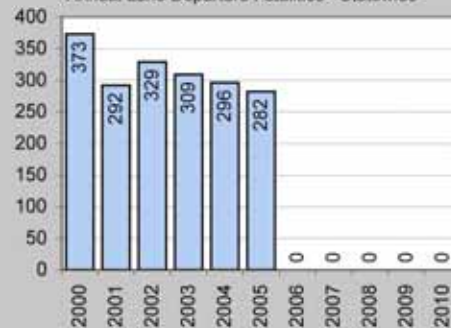
Statewide Lane Departure Fatalities



LD Fatal: 25 25 37 31 30 25 21 22 15 24 17 14
Target: 29 38 37 30 30 24 22 17 19 20 23

Target is the average of the previous 4 years.

Annual Lane Departure Fatalities - Statewide



Region 1 Lane Departure Fatalities



Region 2 Lane Departure Fatalities



Region 3 Lane Departure Fatalities



Region 4 Lane Departure Fatalities



Utah Stewardship Dashboard Safety - Page 3: Intersection Fatalities



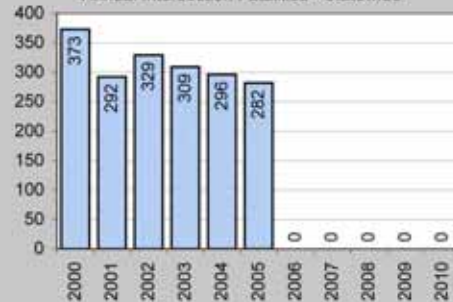
Between 5 and 10% fewer fatalities than targets YTD

Statewide Intersection Fatalities



Target is the average of the previous 4 years.

Annual Intersection Fatalities - Statewide



Region 1 Intersection Fatalities



Region 3 Intersection Fatalities



Region 2 Intersection Fatalities



Region 4 Intersection Fatalities

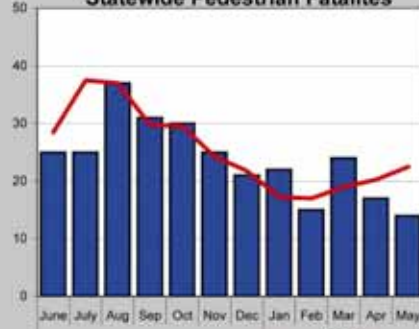


Utah Stewardship Dashboard Safety - Page 4: Pedestrian Fatalities



Between 5 and 10% fewer fatalities than targets YTD

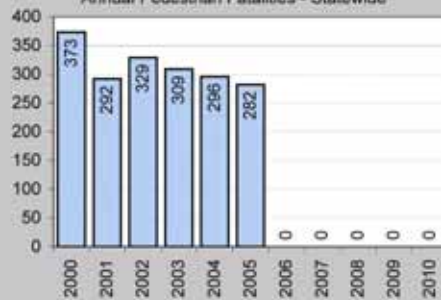
Statewide Pedestrian Fatalities



Ped Fatal:	25	25	37	31	30	25	21	22	15	24	17	14
Target:	29	38	37	30	30	24	22	17	17	19	20	23

Target is the average of the previous 4 years.

Annual Pedestrian Fatalities - Statewide



Region 1 Pedestrian Fatalities



25	25	37	31	30	25	21	22	15	24	17	14
29	38	37	30	30	24	22	17	17	19	20	23



Region 3 Pedestrian Fatalities



25	25	37	31	30	25	21	22	15	24	17	14
29	38	37	30	30	24	22	17	17	19	20	23



Region 2 Pedestrian Fatalities



25	25	37	31	30	25	21	22	15	24	17	14
29	38	37	30	30	24	22	17	17	19	20	23



Region 4 Pedestrian Fatalities



25	25	37	31	30	25	21	22	15	24	17	14
29	38	37	30	30	24	22	17	17	19	20	23

Utah Stewardship Dashboard

Safety - Page 5: % of Fatalities Wearing Seatbelts

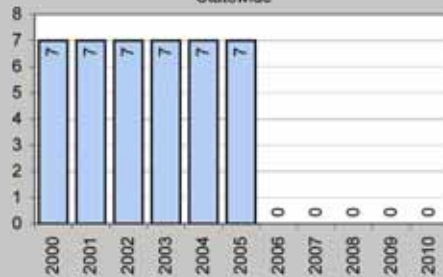


Within +/- 5% of target YTD

Statewide - % of Fatalities Wearing Seatbelts



Annual % of Fatalities Wearing Seatbelts - Statewide



Region 1 - % of Fatalities Wearing Seatbelts



Region 3 - % of Fatalities Wearing Seatbelts



Region 2 - % of Fatalities Wearing Seatbelts



Region 4 - % of Fatalities Wearing Seatbelts



Proposed Stewardship Dashboard Measures – Status

Changes: Add Local Governments to Tier 2, possibly: Finance, Construction, Design, Environmental, and ROW. System Preservation-Roadway measures is agreed upon.

Program Measures

Green - complete

Blue – fairly firm but may change in creation process

Red – may require more development/ evaluation

Black – status uncertain

Finance Tier 1

* Dot Indicator based on % of Tier 1 targets met YTD

1. Inactive Obligations \$ Amount for Small, Med, Large projects (target=5% of apportionments)(quarterly)
2. Obligation Rate for the entire program – current FFY only (target=curve to 90% by June)(monthly)

Finance Tier 2

1. # of Projects with Inactive Obligations for Small, Med, Large projects (target=5%)(quarterly)(by Region)
2. Obligation Rate for each Region - 4 charts (targets=same as above)(monthly)
3. Obligation Rate for Local Governments by Region - 4 charts (targets=same as above)(monthly)

Planning Tier 1

* Dot Indicator based on % of 1st Year STIP Projects Authorized

1. % of 1st Year STIP Projects Authorized by month (target=80% by year end – straight line over the course of the year.) (monthly)

Planning Tier 2

1. Local Government Projects - # planned vs. # bid (monthly)
2. Planning Estimates vs. Actual Costs (annual)
3. CMAQ – kilograms of pollutant removed per dollar of CMAQ funding (need more info)

Right of Way Tier 1

* Dot Indicator based on % of monthly Tier 1 targets met YTD

1. For projects with ROW relocations, average time from FONSI/ROD to ROW Certification completion.

Right of Way Tier 2

1. For projects with ROW relocations, average time from FONSI/ROD to ROW Certification completion. (by region)
2. # of qualified personnel per Local Public Agency (based on attendance in training within 3 years)
3. Outdoor Advertising - # of violations issued for signs
4. Outdoor Advertising - # of permits for billboards (monthly)
5. \$ Amounts for Access breaks & excess land disposal (annual)
6. Federal Land transfers - # and turnaround time for the legal review (sent data vs. response received date)
7. # of Hardship Acquisitions (annual)
8. # of days gained per \$1,000 in condemnation incentives
9. # and \$ Amounts for corridor preservation acquisitions including hardship and development
10. # of condemnations per year (lower the better) (cumulative monthly)

Construction Tier 1

* Dot Indicator based on % of Tier 1 targets met YTD

1. % of projects within x # of days of the original contract time (monthly) (Target: 90%) – stacked bar: red, yellow, green

Construction Tier 2

1. % of projects where the engineers estimate is within 10% of final cost (target 70%) (monthly?)
2. Outstanding project charges - break out contractor claims – (Quarterly - already exists)
3. Average # of Contractors Bidding per Project by Region (Quarterly)
4. Materials - # of projects above or below minimum sampling testing
5. Change Orders by Region and type (quarterly - \$ and #) & statewide
6. Final project cost vs. bid cost – (by region, annual, all projects closed that year)

System Preservation Tier 1

* Dot Indicator based on % of Tier 1 targets met YTD

1. IRI smoothness - % VMT on Pavement with IRI < 95/mi (target=58) (annual)
2. % Bridge deck area deficient NHS (target=20%) (annual)
3. % Bridge deck area deficient non-NHS (target=20%) (annual)

System Preservation Tier 2

1. Faulting (annual)
2. Rutting (annual)
3. Skid (annual)
4. FWD (annual)
5. IRI by Region: % VMT on Pavement with IRI < 95/mi (target=58)(annual)
6. IRI by Interstate, NHS, & Non-Interstate (targets=60,60,58)(annual)
7. Bridge-Estimated # of Inspections vs. Actual Inspections
8. Bridge-Inspection Overdue: 30, 60, & 90 days
9. Average Sufficiency Rating at Obligation
10. # of Bridges Posted / # of Bridges that should be Posted (by county?)

Operations Tier 1

* Dot Indicator based on Tier 1 targets met YTD

1. Travel Time Index
 - a. monthly
 - b. vehicle-hours per year
 - c. target=1.3

Operations Tier 2

1. Predictable delay / Travel times in major corridors: Provo to SL, Toole to SL, Park City to SL, Ogden to SL (4 measures)
 - a. monthly
 - b. vehicle-hours per year
2. Incident clear time
 - a. quarterly
 - b. minutes
3. Work zone delay
 - a. quarterly
 - b. vehicle-hours per year
 - c. (will not be available immediately)
4. Intersection delay
 - a. Semiannually
 - b. seconds per intersection on average
 - c. (sample of 200 intersections)

Civil Rights

* No Tier 1 Measures

Civil Rights

1. # of EEO Contract Compliance Reviews – # completed & % with violations
2. Total number of DBE firms (certified – ready, willing, & able)
3. # of DBE applications, # accepted
4. # of DBE firms graduated & # decertified.

Safety Tier 1

* Dot Indicator based on meeting the UDOT's goal of 2% reduction in Fatalities per year from the year 2000 baseline.

1. Monthly Fatalities (Target = average of previous 4 years.)

Safety Tier 2

1. Dot indicators used for all tier 2 measures (same criteria as above)
2. Monthly Fatalities by Crash Type by Region & Overall (25 charts below)
 - a. Overall Fatalities by Region (target = average of 4 years)
 - b. Lane Departure by Region (target = average of 4 years)
 - c. Intersection Fatalities by Region (target = average of 4 years)
 - d. Pedestrian Fatalities by Region (target = average of 4 years)
 - e. # of Fatalities not using proper restraints (target = average of 4 years)
3. Multi-year statewide charts also included in each category to show long term trends
(There is the potential of adding several more categories in the future)

Design Tier 1

* Dot Indicator based on % of Tier 1 targets met YTD

1. % of projects advertised within the advertisement schedule (monthly) (target>70%)

Design Tier 2 (quarterly/monthly?)

1. % of projects where the Engineer's estimate is within 10% of low bid (target > 70%) all projects, state, & local (by region?)
2. % of projects advertised within the advertisement schedule by Region – 4 graphs (target=70%)
3. # of Consultants that exceeded the pool cap (target = 0) (?)
4. # and \$ amounts of modifications requested by type by Region (?)
5. # & % of all projects that have exceptions, waivers, deviations (by Region-quarterly)
6. Measure from CSS Customer Survey Results (survey conducted in May and November – report annually?)

Environment Tier 1

* Dot Indicator based on % of Tier 1 targets met YTD

1. EIS's on Schedule - # and % (target 70%) (quarterly)
2. EA's on Schedule - # and % (target 70%) (quarterly)

Environment Tier 2

1. Median timeframes for EIS's and EA's (annual)
2. # of approved CE's (monthly)
3. % of projects with 4(f) de minimis determinations (annual)
4. # of EA's & EIS's completed statewide (annually)

Spot Indicators Definitions

Spot indicators will vary based on the measure and program and will update in the same frequency as the related measures.

As a starting point:

Solid Green = 90% or better of Tier 1 targets met

Green/Yellow = 80% - 90% of Tier 1 targets met

Solid Yellow = 70% - 80% of Tier 1 targets met

Yellow/Red = 60% - 70% of Tier 1 targets met

Solid Red = less than 60% of Tier 1 targets met

Dashboard Structure

Spreadsheet Dashboard in Excel Format

The Dashboard will consist of a total of 11-12 Excel files: 1 main dashboard and 10-11 Tier 2, or program level dashboards. An optional third tier dashboard can be created at the program managers' option.

Main Dashboard – Tier 1 – will consist of:

1. One to two pages of measures. 1-3 measures per program area.
2. One worksheet of data, which is linked to Tier 2 data entry spreadsheets.
3. There will be no data entry into the main dashboard. It will be linked to other data entry files.

Program Dashboards – Tier 2 – One Excel file per program area consisting of:

1. One to five pages of presentation measures depending on what measures are agreed on. Graphs will increment automatically with data entry over time.
2. One worksheet of data entry tables.

Data Entry Work Effort

The current IT efforts at UDOT cannot support automated links to a data warehouse at this time. So each measure will require data entry by someone in each program area. Data tables will be created in a simple, easy to use, and consistent format, so that this can be a data entry-level task.

1. Data entry will be required until UDOT's data warehouse is complete and linked – (years from now).
2. Maintenance – worksheets will be created so that they will self-adjust over time. Maintenance should not be required unless a change is desired to the actual measures or presentation of those measures. Targets & data can be modified

APPENDIX B – UTAH PROGRAM RESPONSIBILITY

UTAH PROGRAM RESPONSIBILITY						
UDOT APPROVAL		FHWA APPROVAL				
Administration	ADMIN	Assistant Division Admin	ADA			No Approval Authority
Construction and Materials	CON/MTL	Area Engineer	AE			
Engineering Services Division/Bridge Design	ESD/BD	Bridge Program Manager	BPM			Approval Authority
Environmental	ENV	Environmental Program Manager	EPM			
Research/Bridge Operations	RES/BO	Financial Program Manager	FPM			Approval Authority - On Interstate
Right-of-Way	ROW	Operations Program Manager	OPM			
Systems Planning	PLAN	Program Assistant	PA			Approval Authority - Off Interstate
Systems Programming	PROG	Planning Program Manager	PPM			
Traffic and Safety	T&S	ROW/Design Program Manager	ROW/DPM			
Traffic Operation Center	TOC	Safety Program Manager	SPM			
UDOT Comptroller	COMP	Transportation Specialist	TS			
OTHER AGENCY APPROVAL						
Governor's Office of Economic Development	GOED					
	UDNR					
Utah Department of Public Safety	UDPS					
Utah State Tax Commission	USTC					
ACTIVITY	DUE	FREQUENCY	REFERENCE	UDOT CONTACT	FHWA CONTACT	REMARKS
SYSTEMS PLANNING AND PROGRAMMING						
Statewide Planning						
Metropolitan Planning Organization						
Designation/Redesignation of MPOs		When revised	23 CFR 450.306	PLAN	TS	Approved by the Governor
Metropolitan Planning Area Boundary changes		When revised	23 CFR 450.308	PLAN	TS	Approval by Governor, shapefiles forwarded to HQ
Cooperative Planning Agreements in Attainment/Maintenance areas		When revised	23 CFR 450.310	PLAN	TS	
Cooperative Planning Agreements in Non-attainment Areas				PLAN	TS	
MPA Covers Entire Non-attainment Area			23 CFR 450.310 (d)	PLAN	TS	Between MPO/State/Transit or in UPWP or Prospectus [23 CFR 450.314 (c)]
MPA Covers Part of Non-attainment Area			23 CFR 450.310 (f)	PLAN	TS	Between MPO/State DOT/State AQ
Other Metropolitan Planning Responsibilities						
CMAQ Eligibility Determination		Annually	04/28/99 HQ CMAQ Guidance Memo	PLAN	PPM	Non-attainment or maintenance areas
CMAQ Annual Report	Feb 1	Annually	July 13, 1995 CMAQ Guidelines	PLAN	PPM	UDOT completes through UPACS
Public Involvement Procedures for Metropolitan Areas		As needed	23 CFR 450.316(b)(1)	PLAN	PPM	Must be developed and published. Update as needed.
Congestion Management Systems			23 CFR 450.320; 500.109	PLAN	PPM	Must be established and implemented in TMAs. Update as needed.
Other Statewide Planning Responsibilities						
Non Metropolitan Public Involvement Procedures		Every 5 years	23 CFR 450.212	PLAN	PPM	
Public Involvement Procedures for Statewide Planning		As needed	23CFR 450.212 (f)	PLAN	PPM	State publishes and allows 45 days for public review and written comments before the procedures are adopted.
Statewide Transportation Plan		As needed	23 CFR 450.214	PLAN	PPM	Evaluated and Periodically Updated
State Self Certification on Planning Process		Every 2 years	23 CFR 450.220 (b)	PLAN	PPM	Received with STIP
Certification						
State/MPO Self-Certification		Annually	23 CFR 450.334 (a)	PLAN	PPM	

ACTIVITY	DUE	FREQUENCY	REFERENCE	UDOT CONTACT	FHWA CONTACT	REMARKS
Unified Planning Work Program (UPWP)						
Approval in Transportation Management Areas (TMAs)	Jul 1	Annually	23 CFR 450.314	PLAN	TS	Annual Approval in Conjunction with SPR-PL Program Approval. Required by regulation every two years.
Approval in Non TMAs	Jul 1	Annually	23 CFR 450.314 (d)	PLAN	TS	Approved the same as TMA
Revisions/Amendments		As needed	23 CFR 420.115	PLAN	TS	
Performance and Expenditures Reports		Annually	23 CFR 420.117 (b)	PLAN	TS	Annual, not more frequently than quarterly. Includes final reports
Long Range Transportation Plan (LRTP)						
Air Quality Conformity Determination on LRTP	Concurrent with LRTP update		23 CFR 450.322 (d)	PLAN	PPM	Non-attainment areas only: After receipt of MPO determination, FHWA determination in consultation with FTA
LRTP Updates		Every 4 or 5 years	23 CFR 450.322	PLAN	TS	Every 4 years for nonattainment areas and 5 years for attainment area.
Cache		Every 5 years	23 CFR 450.322	PLAN	TS	
Wasatch Front		Every 4 years	23 CFR 450.322	PLAN	TS	
Mountainland		Every 4 years	23 CFR 450.322	PLAN	TS	
Dixie		Every 5 years	23 CFR 450.322	PLAN	TS	
Statewide Programming						
State Planning and Research (SPR) Program						
State PL Funds Formula		As needed	23 CFR 420.109 (a)	PLAN	TS	
SPR-PL Work Program	Jul 1	Annually	23 CFR 420.115 (a)	PLAN	TS	Fwd to HQs; Draft due to Division by May 15
Annual Performance and Expenditure Report	Sep 30	Annually	23 CFR 420.117 (b) (1) & (c)	PLAN	TS	
Statewide Transportation Improvement Program (STIP)						
STIP Approval	Oct 1	Every 4 years min.	23 CFR 450.220 (a), (c) 23 CFR 450.216	PROG	PPM	Approval in Consultation with FTA
STIP Amendments		As requested by State	23 CFR 450.220 (a), (c) 23 CFR 450.216	PROG	PPM	Per new TIP/STIP process
Transportation Improvement Program (TIP)						
MPO/State Air Quality Agency Agreements		As needed or revised by MPO/State	23 CFR 450.310c	PLAN	PPM	Only required when MPO is not designated for air quality planning.
TIP Approvals	Oct 1	Every 4 years min.	23 CFR 450.312 (b) 23 CFR 450.324 (b) 23 CFR 450.328 (a)	PROG	PPM	TIPs are incorporated into the STIP without modification; Requires FTA consultation
TIP/STIP Amendments for Non-attainment Areas		As requested	23 CFR 450.324-330	PROG	PPM	May require consultation with FTA. Per new TIP/STIP process
TIP/STIP Amendments for Attainment Areas		As requested	23 CFR 450.324-330	PROG	PPM	May require consultation with FTA. Per new TIP/STIP process
Air Quality Conformity Determination on TIP	Concurrent with TIP update or amendment of exempt projects		23 CFR 450.324 (b) 23 CFR 450.328 (a)	PLAN	PPM	Non-attainment areas only: After receipt of MPO determination, FHWA determination in consultation with FTA
TIP Conformity Determination for Non-attainment	Concurrent with TIP approval/modification (unless exempt projects)	As needed (NTE 2 years)	23 CFR 450.330(b)	PLAN	PPM	Non-attainment areas only: After receipt of MPO determination, FHWA determination in consultation with FTA. Per FTA/FHWA Planning Collaboration Agreement
Project Level Conformity Determination for Non-attainment		As needed	23 CFR 450.332	PLAN	PPM	Needed when a TIP is amended. FTA/FHWA Planning Collaboration Agreement
CMAQ Funds Report	Feb 1	Annually	HQ CMAQ guidance memo dated 04/28/99	PLAN	PPM	Urban program planning responsible for using UPACS to input data for report.
CMAQ Funds Eligibility Determination		As requested by State	HQ CMAQ guidance memo dated 04/28/99	PLAN	PPM	Coordination w/FTA. Refer to FTA/FHWA Planning Collaboration Agreement TE will coordinate with Planner

ACTIVITY	DUE	FREQUENCY	REFERENCE	UDOT CONTACT	FHWA CONTACT	REMARKS
Highway Information						
Federal Statewide Planning Finding	Sep 30	Annually	23 CFR 450.220 (b)	PROG	PPM	Issued in Consultation with FTA as part of STIP Approval
System Actions						
Federal-Aid Urban Area Boundaries		As revised by State	23 CFR 470.105 (a)	PLAN	TS	
Functional Classification		As requested by State	23 CFR 470.105 (b)	PLAN	TS	"Highway Functional Classification, Concepts, Criteria and Procedures" www.fhwa.dot.gov/planning/fctoc.htm
Interstate Additions & Revisions		As requested by State	23 CFR 470.111, 115 (a)	PLAN	TS	Approval by HQ - Office Director
National Highway System (NHS) revisions		As requested by State	23 CFR 470.113, 115 (a)	PLAN	TS	Approval by HQ - Office Director
Highway Performance Monitoring System						
Certified Public Roads Miles	Jun 1	Annually	23 CFR 460.3 (b)	PLAN	TS	To HQ with DO Review/Concurrence; approval by governor or delegated authority
Data Submittal	Jun 15	Annually	HPMS Field Manual	PLAN	TS	UDOT sends directly to HQ, Division formally requests copy of data
Annual CPI Review	Nov 1	Annually	HPMS Field Review Guidelines; June 2000	PLAN	TS	Annual Review consists of High Priority Subject Areas, Field Inventory Review, and Data and Trend Analysis.
Vehicle Classification Data	Jun 15	Annually	HPMS Field Manual	PLAN	TS	Part of annual HPMS Submittal
OPERATIONS						
Traffic and Safety						
Safety						
402 Highway Safety Program Plan	Sep 1	Annually	12/22/99 Guidelines	T&S/UDPS	SPM	NHTSA (UDPS) has lead.
Work Zone Safety Process Review of Effectiveness		Bi-Annually	23 CFR 630.1010	T&S	SPM	
State-Prepared Traffic Control Manuals	Within 2 years of MUTCD Issuance	As needed	23 CFR 655.603	T&S	SPM	
Traffic Safety in Highway & Street Work Zones		As needed	23 CFR 630.1008	T&S	SPM	HSIP
Highway Safety Improvement Program Project Approval		As needed	23 CFR 924.15; 23 USC 130	T&S	SPM	
Highway Safety Improvement Program (5% including RSI, High Hazard Rural Roads, RR)	Aug 31	Annually	23 CFR 924.15; 23 USC 148	T&S	SPM	
Safety Belt Compliance		Annually (each FY)	23 CFR 1215.6	T&S/UDPS	SPM	NHTSA (UDPS) will take lead.
TOC, Mobility, ITS						
Congestion Management Systems	April 1	As needed	23 CFR 500.109	TOC	OPM	As revised by MPO/State & during Certification Review
Conformity with Regional ITS Architecture		As needed	23 CFR 940.11	TOC	OPM	See ITS Checklist
Operations Support Program	Summary Report Oct 1 Program Approval Aug 1	Annually	Annual Memo from HQ	TOC	OPM	Eligibility determination made by HQ
PROJECT DEVELOPMENT						
Right-of-Way (ROW)						
State ROW Manual Recertification	Jan 1	Every 5 years	23 CFR 710.201(c)	ROW	ROW	Last recertification Jan 2006
ROW Oversight Agreement		As needed	23 CFR 710.201(i)	ROW	ROW	
Use of ROW Air Space Authorization Request (on Interstate System)		As needed on projects	23 CFR 710.405	ROW	ROW	
ROW Disposal Authorization Request		As needed on projects	23 CFR 710.409	ROW	ROW	Review for Environmental Clearance
Outdoor Advertising Policies and Procedures Revisions		As needed or submitted by State	23 CFR 750.304	ROW	ROW	
Uniform Relocation Assistance & Real Property Acquisition Report -(OMB Form 2125-0030)	NLT Nov 15	Every 5 years	49 CFR 24.9(c) & Appendix B	ROW	ROW	May-06
Lead Agency Uniform Act Monitoring Activities		As needed	49 CFR 24.603	ROW	ROW	Submit to HQ

ACTIVITY	DUE	FREQUENCY	REFERENCE	UDOT CONTACT	FHWA CONTACT	REMARKS
Locked Gate (Interstate)		As needed	February 1998, Federal Register, Vol. 63, #28	ESD/BD	ROW	
Real Property Acquisition Statistical Report	Nov 15	Annually	FHWA Order 6540.1	ROW	ROW	Prepare and submit to HQ
Environment						
Environmental Document Determination		Annually	23 CFR 771.117 and 771.111(a)/(b), TA6640.8A	ENV	EPM	Performed after STIP Approval
Civil Rights - Construction						
OJT Goals & Accomplishments	Jan 30	Annually	23 CFR 230.111(b)	CON/MTL	ADA	
Supportive Services Funds Requests		As requested by State	23 CFR 230.113	CON/MTL	ADA	Recommendation sent to HQ for approval
Annual Contractor Employment Report (Construction Summary of Employment Data (Form PR-1392)	Sep 25	Annually	23 CFR 230.121(a)	CON/MTL	ADA	Recommendation sent to HQ for approval
Report on Supportive Services (On-the-Job-Training (OJT) & DBE)	Apr 15/Jul 15/Oct 15/Jan 15	Quarterly	23 CFR 230.121(e) 23 CFR 230.111, 113	CON/MTL	ADA	Recommendation sent to HQ for approval
Disadvantaged Business Enterprise (DBE) Awards & Commitment	Jul 15 / Jan 15	Semiannually	49 CFR 26 Appendix B	CON/MTL	ADA	Recommendation sent to HQ for approval
Disadvantaged Business Enterprise (DBE) Program Revisions		As needed or requested by State	49 CFR 26.21(b) Annual Procedures Memo from HQ	CON/MTL	ADA	When litigation is pending or there are significant changes, recommendations sent to HQ for approval. If no litigation pending or significant changes, approval is at Div Office level.
State's DBE Program Goals	Aug 1	Annually	49 CFR 26.41 Annual Procedures Memo from HQ	CON/MTL	ADA	When litigation is pending or there are significant changes, recommendations sent to HQ for approval. If no litigation pending or significant changes, approval is at Div Office level.
Design						
Procedures for Consultant Selection		As needed	23 CFR 172.9	ESD/BD	FPM	
Design Standards		As needed	23 CFR 625	ESD/BD	DPM	Approval determined at Spec Cmte meetings
Standard Specifications		As needed	23 CFR 625	ESD/BD	DPM	Approval determined at Spec Cmte meetings
Local Public Agency Oversight Policies and Procedures		As needed	23 CFR 635.105	ESD/BD	OPM	
ADA Design Standards Compliance		As needed	23 CFR 652	ESD/BD	DPM	
Coordination of Projects near Airports		As needed	23 CFR 620.103	ESD/BD	DPM	
Value Engineering projects over \$25 million on NHS		As needed	23 CFR 627 Value Engineering	ESD/BD	DPM	
Value Engineering bridge projects over \$20 million on NHS		As needed	23 CFR 627 Value Engineering	ESD/BD	DPM	
Value Engineering on Design/Build prior to RFQ		As needed	23 CFR 627 Value Engineering	ESD/BD	DPM	
Value Engineering Report	End of Nov	Annually	FAPG G 6011.9	ESD/BD	DPM	Submitted to HQs
Access Justification Reports		As needed	February 1998, Federal Register, Vol. 63, #28	ESD/BD	DPM	coord w/headquarters as needed
Bridge - Type, Size & Location		As needed on Full Oversight Projects	FHWA Order 5520.1	ESD/BD	BPM	Only required on major or unusual structures; otherwise included with design review process.
Federal Aid Program Eligibility Determinations		As needed	USC 23	ESD/BD	FPM	

ACTIVITY	DUE	FREQUENCY	REFERENCE	UDOT CONTACT	FHWA CONTACT	REMARKS
Construction						
Title VI Plan Accomplishments and Next Year's Goals	Oct 1	Annually	23 CFR 200.9	ADMIN	FPM	Courtesy copy to HQ
Title VI Plan Update		As needed or requested by State	23 CFR 200.9	ADMIN	FPM	Courtesy copy to HQ
EEO Contract Compliance Review Reports (Form FHWA 88)		As submitted by State	23 CFR 230.409 23 CFR 230.413	ADMIN	FPM	If contractor is found non-compliant, a courtesy copy is sent to EEO Specialist Resource Center Midwest
DBE On-site Verification and Interviews		As needed	23 CFR 230.409(e)	ADMIN	FPM	Coordinate findings with Civil Rights Specialist
Approving Liquidated Damage Rate		Every 2 years	23 CFR 635.127	CON/MTL	AE	
Structures						
TS&L Approval of Unusual Bridges and Structures on the Interstate		Project by Project	23 CFR 630 Subpart B HQ Memo 11/13/98	ESD/BD	BPM	HQ must approve
NBIS Review Statewide Report	Jan 1	Annually	23 CFR 650 Subpart C	RES/BO	BPM	Submit to HQ
NBI Data Submittal	Apr 1	Annually	23 CFR 650 Subpart C	RES/BO	BPM	Submit to HQ
Bridge Construction Unit Cost Submittal	Apr 1	Annually	23 CFR 650 Subpart D Annual Memo from HQ	ESD/BD	BPM	Submit to HQ
HBRRP Eligibility Determinations		Project by Project	23 CFR 650 Subpart D	ESD/BD	BPM	
Bridges Exempt from Coast Guard Permits		Project by Project	23 CFR 650 Subpart H	ESD/BD	AE	
Research						
Vehicle Size & Weight Enforcement Certification	Jan 1	Annually	23 CFR 657.13	X	PPM	Coordinate with UDPS
Vehicle Size & Weight Enforcement Plan	Oct 1	Annually	23 CFR 657.11	X	PPM	Coordinate with UDPS
National Truck Network Modifications		As requested by State	23 CFR 658.11	X	PPM	Recommend actions to HQ UDPS Must go through Federal Register Process.
Traffic Incident Management Self Assessment	Aug 1	Annually	Annual Memo from HQ	TOC	OPM	Complete with partners and forward to HQ
Work Zone Self Assessment	Aug 1	Annually	Annual Memo from HQ	T&S	AE	Complete with partners and forward to HQ
Congestion Partnerships Assessment	Jul 1	Annually	Annual Memo from HQ	TOC	OPM	Complete with partners and forward to HQ
State Planning & Research (SPR) Work Program	Prior to Jul 1	Annually	23 CFR 420.115	PLAN	AE	
Research Results Reports		Annually	23 CFR 420.117	RES/BO	AE	Report on Work Plan & Status of Projects
Management Process for Research, Development & Technology Transfer	Jun 30	Annually	23 CFR 420.209	RES/BO	AE	
LTAP Centers Work Plan and Funding		Annually	FHWA LTAP Field Manual	RES/BO	AE	
Technology & Innovation Funding Program		Annually	Memo from Resource Center, 11-18-2004	RES/BO	AE	Administered by FHWA
Pavement and Materials						
Materials Certification		As needed	23 CFR 637.207	CON/MTL	AE	Must be submitted for High Profile
Quality Assurance Program		As needed	23 CFR 637.205	CON/MTL	AE	
ADMINISTRATION						
Financial Management						
Transfer of Funds		As needed	23 USC 104 (c), (g), (k) 23 USC 119 (b)	PROG	FPM	
Federal-aid Billing Reimbursement of Eligible Expenditures		Weekly	23 CFR 140 23 CFR 635.122	COMP	FPM	
Federal Aid Project Modifications		As needed	23 CFR 630.110	PROG	AE	
Financial Integrity Review and Evaluation	Oct 31	Annually	FHWA Order 4560.1	COMP	FPM	
FMIS Reconciliations	Month End Cutoff	Monthly	OBF Policy 04-08	COMP	FPM	

ACTIVITY	DUE	FREQUENCY	REFERENCE	UDOT CONTACT	FHWA CONTACT	REMARKS
Highway Statistics Reports						
Motor Fuel-551 M	90 days after end of each reporting month.	Monthly	Chapter 2 of the Guide to Reporting Highway Statistics	COMP	TS	State sends directly to HQ, copy to Division; www.FHWA.dot.gov/policy/ohpi/HSS/guide.HTM
Motor Fuel-556	Apr 1	Annually	Chapter 2	COMP	TS	
Vehicles & Drivers - 561, 562, 566, & 571	Apr 1	Annually	Chapters 3,4,5 & 6	COMP	TS	
Finance- 531, 532, 541, 542, & 543 (optional)	Apr 1	Annually	Chapters 8 and 9	COMP	TS	
Transportation Bond Referendums		Annually	Chapter 9	X	TS	Coordinate with Utah State Treasurer
DOT/Toll Authority Audits and Published Annual Reports + 539 (Optional)		Annually	Chapter 10	COMP	OPM	Annual - Due as soon as available.
Finance-536	Sep 30	Annually	Chapter 11	COMP	TS	Biennial and on odd-numbered years. Due 9 months after end of reporting year.
Finance-534	Jun 15	Annually	Chapter 12	COMP	TS	Annually for State, Biennially for Local.
Annual Truck Weight Data	June 15	Annually	Chapter 13	COMP	TS	
DOT Budgets and Published Annual Reports		Annually	Chapter 13	X	TS	Coordinate with State Department of Finance
Highway Finance and Tax Legislation		Annually	Chapter 13	X	TS	Coordinate with State Treasurer
Permanent Automatic Traffic Recorder Data	Monthly - DOT may forward it directly to HPP 30	Annually	Chapter 13	COMP	TS	Monthly within 20 days of the second month following the data collection month
Other Highway Information Responsibilities						
Motor Fuel Review	Sep 2005	Every 3 years	1989 HQ Memo	X	TS	Coordinate with Utah State Tax Commission
Heavy Vehicle Use Tax (HVUT)						
Proof of Payment Certification	Jul 1	Annually	23 CFR 669.7	X	TS	Governor approval delegated to Sec of St
Compliance Review	Dec 2006	Every 3 years	23 CFR 669.21	X	TS	Coordinate with Utah State Tax Commission
MFT Evasion Project Funds Request		When requested	HQ Memo soliciting appl.	X	TS	Coordinate with Utah State Tax Commission
Transportation, Community and System Preservation (TCSP) Evaluation Report	Jun 30	Annually	TEA-21, Section 1221	PLAN	TS	
Civil Rights - HR						
State Internal EEO Affirmative Action Plan (Title VII) Accomplishments and Goals	Oct 1	Annually	23 CFR 230.311	ADMIN	FPM	Courtesy copy to HQ
State Internal EEO (Title VII) Plan Update	Oct 1	Annually	23 CFR 230.311	ADMIN	FPM	Courtesy copy to HQ
Minority Institutes of Higher Education Planned Awards Report		Quarterly	Pres. Exec. Orders 13021 / 13230	ADMIN	ADA	Prepared by Civil Rights Specialist and submitted to HQ
Minority Institutes of Higher Education Performance Awards Report	Nov 1	Annually	Pres. Exec. Orders 13021 / 13230	ADMIN	ADA	Prepared by Civil Rights Specialist and submitted to HQ
State Employment Practices Report (EEO-4)	Aug 1	Annually	23 CFR 230.311	ADMIN	FPM	Report sent to HQ quarterly for informational purposes and recommendation sent to HQ annually for approval
Americans with Disabilities Act Complaint Reviews		As requested by HQ	Pres. Exec. Order 11246	ADMIN	FPM	Conduct evaluation & mediate for correction If no resolution reached, remand to HQ w/report
Americans with Disabilities Act Complaint Review Report	Oct 1	Annually	Pres. Exec. Order 11246	ADMIN	FPM	
Civil Rights Activity Report (Title VI, Limited English Proficiency, Title IX, Persons with Disabilities)	Apr 15/Jul 15/Oct 15/Jan 15	Quarterly	Pres. Exec. Order 12250	ADMIN	FPM	Prepared by Civil Rights Specialist and submitted to HQ
OTHER						
National Security						
Transportation Plan Conformity Determination for Non-attainment Areas	Concurrent with L RTP update	As needed (NTE 3 years)	23 CFR 450.322(d)	PLAN	PPM	Non-attainment areas only: After receipt of MPO determination, FHWA determination in consultation with FTA. Per FTA/FHWA Planning Collaboration Agreement
Discretionary Funds						
Forest Highways Discretionary Funds		Annually	23 CFR 660.101	PLAN	DPM	Joint approval with UDOT, FLHD, Forest Service and TL Team
Innovative Bridge Research and Construction Program Administration	As requested	Annually	23 USC 503(b), Annual Memo from HQ	ESD/BD	BPM	Submit to HQ
Ferry Boat Discretionary (FBD)		As needed	HQ Memo Soliciting Applications	X	PPM	Recommend action to HQ

ACTIVITY	DUE	FREQUENCY	REFERENCE	UDOT CONTACT	FHWA CONTACT	REMARKS
Interstate Maintenance Discretionary Funding Applications		Annually	HQ Memo Soliciting Applications	PLAN	AE	Recommend action to HQ
National Corridor Planning and Development Program		As needed	HQ Memo Soliciting Applications	X	PPM	Recommend action to HQ
Public Lands Highway (PLH)		As needed	HQ Memo Soliciting Applications	X	DPM	Coordinate with Central Federal Lands; recommend action to HQ
Scenic Byways Discretionary Funds Application		Annually	HQ Memo Soliciting Applications	GOED	DPM	Coordinate with Governor's Office of Economic Development; recommend action to HQ
Transportation & Community & System Preservation		As needed	HQ Memo Soliciting Applications	X	PPM	Coordinate with Governor's Office of Economic Development; recommend action to HQ
Trails & Recreation Program		As needed		X	DPM	Coordinate with DNR, Division of Parks and Rec.
ITS Deployment Program		Annually	TEA 21, Section 5208 and 5209 23 CFR 940	TOC	OPM	Recommend action to HQ
STATE MANUALS APPROVED BY FHWA FOR USE ON FEDERAL-AID PROJECTS						
Accommodation of Utilities and the Control and Protection of State Highway Rights of Way				ROW	ROW	
DBE Program Plan Manual				CON/MTL	ADA	
Design Exceptions, Waivers, and Deviations				ESD/BD	DPM	
Design Process Manual				ESD/BD	DPM	
EEO Program Plan Manual				ESD/BD	FPM	
Mapping and Aerial Photogrammetry Manual				ROW	OPM	
Noise Policy				ENV	EPM	
Pavement Design Policy Procedures				CON/MAT	AE	
Public Involvement Plan				CON/MAT	EPM	
Quality Assurance Program				CON/MAT	AE	
Research Work Plan (LTAP)				ROW	AE	
Standard Drawings				ESD/BD	DPM	
Supplemental and Standard Specifications				ESD/BD	DPM	
Supportive Services Program				ESD/BD	ADA	
UDOT Construction Safety and Health Manual				CON	AE	
UDOT MOI Construction				CON/MAT	AE	
UDOT MOI Consultant Services				ESD/BD	FPM	
UDOT MOI Drainage				ENV	AE	
UDOT MOI Environmental Process				ENV	EPM	
UDOT MOI Local Government				ESD/BD	OPM	
UDOT MOI Right-of-Way				ROW	ROW	
UDOT MOI Roadway Design				ESD/BD	DPM	
UDOT MOI Structures				RES/BO	BPM	
OPERATING AGREEMENTS						
Environmental Stewardship Agreement				ENV	EPM	
Section 7 Programmatic Agreement				ENV	EPM	
Section 106 Programmatic Agreement				ENV	EPM	

APPENDIX C – UTAH PROJECT RESPONSIBILITY

UTAH PROJECT RESPONSIBILITY			
APPROVAL ACTION	Approval Authority		
	High Profile Projects	NHS PROJECTS (Delegated Projects)	Non-NHS PROJECTS
SYSTEMS PLANNING AND PROGRAMMING			
Programming			
Verify eligibility for proposed funding category	FHWA	FHWA/UDOT	FHWA/UDOT
Verify project in STIP	FHWA	FHWA/UDOT	FHWA/UDOT
Approve Federal-aid Project Agreement (PR-2)	FHWA	FHWA	FHWA
Obligate funds	FHWA	FHWA	FHWA
PROJECT DEVELOPMENT			
Right-of-Way			
Accept Right-of-Way certificate as a condition of PS&E approval [23 CFR 635]	UDOT(1)	UDOT	UDOT
Approve air space agreements [23 CFR 710]	FHWA(4)	FHWA(4)	UDOT
Approve disposal of federally funded right-of-way [23 CFR 710.409]	FHWA(4)	FHWA(4)	UDOT
Approve Hardship and Protective Buying [23 CFR 7710.307, 503, 509]	UDOT(1)	UDOT	UDOT
Approve non-highway use and occupancy [23 CFR 713.203B]	FHWA	FHWA	FHWA
Authorize Right-of-Way activities [23 CFR 710 Subpart B]	FHWA	FHWA	FHWA
Control of Access [23 CFR 620.203(h)]	FHWA	FHWA	FHWA
Functional Replacement [23 CFR 710.509]	UDOT(1)	UDOT	UDOT
Junkyard Control [23 CFR 751.25]	FHWA	UDOT	UDOT
Outdoor Advertising Sign Removal Projects [23 CFR 750.307]	UDOT(1)	UDOT	UDOT
Request for Credits [23 CFR 710.501]	FHWA(4)	FHWA(4)	UDOT
Request for Direct Federal Acquisition [23 CFR 710.603]	FHWA	FHWA	FHWA
Request for Federal Land Transfer [23 CFR 710.601]	FHWA	FHWA	FHWA
Request for waivers [49 CFR 24.204(b)]	FHWA	FHWA	FHWA
ROW Relinquishment Request [23 CFR 620(b), 23 CFR 710.401, 23 CFR 710.403]	FHWA(4)	FHWA(4)	UDOT
Withholding of Payments [23 CFR 710.203(c), 23 CFR 1.36]	FHWA	FHWA	FHWA
Environment			
Certification of Public Hearings [23 CFR 771.111(h)(2)(vi)]	UDOT(1)	UDOT(1)	UDOT(1)
Environmental Mitigation Measures [23 CFR 771.105(d)]	FHWA	FHWA	FHWA
Project Public Involvement and Interagency Coordination [23 CFR 771.111]	UDOT(1)	UDOT	UDOT
Wetland Mitigation Measures [23 CFR 777]	FHWA	FHWA	FHWA
Approval action for CE I & CE II	UDOT	UDOT	UDOT

APPROVAL ACTION	Approval Authority		
	High Profile Projects	NHS PROJECTS (Delegated Projects)	Non-NHS PROJECTS
Approval action for CE III	FHWA	FHWA	FHWA
Environmental Assessment [23 CFR 771.119, TA 6640.8A] Review and Provide comments within 14 days	FHWA	FHWA	FHWA
FONSI or elevate to an EIS [23 CFR 771.121, TA 6640.8A]	FHWA	FHWA	FHWA
Notice of Intent (NOI) [23 CFR 771.123(a), TA 6640.8A]	FHWA	FHWA	FHWA
Draft Environmental Impact Statement (DEIS) [23 CFR 771.123, TA 6640.8A] Review and provide comments within 30 days [or approve 23 CFR 771.123 (e)]	FHWA	FHWA	FHWA
Federal Aid Project Modification [23 CFR 630.110]	FHWA	UDOT	UDOT
Final Environmental Impact Statement (FEIS) Legal Sufficiency [23 CFR 771.125(b)]	FHWA	FHWA	FHWA
Final Environmental Impact Statement (FEIS) [23 CFR 771.125, TA6640.8A] No sooner than 45 days after publishing the DEIS. Review and provide comments within 30 days [or approve 23 CFR 771.125 (c)]	FHWA	FHWA	FHWA
Record of Decision (ROD) [23 CFR 771.127, TA 6640.8A] No sooner than 30 days after publishing FEIS	FHWA	FHWA	FHWA
Re-evaluations [23 CFR 771.129, TA 6640.8A]	FHWA	FHWA	FHWA
Section 4(f) Programmatic [23 CFR 771.135, TA 6640.8A]	FHWA	FHWA	FHWA
Section 4(f) De Minimis Determination SAFETEA-LU (6007 & 6009), 49 USC 303	FHWA	FHWA	FHWA
Section 4(f) Individual [23 CFR 771.135, TA 6640.8A]	FHWA	FHWA	FHWA
180-day Statute of Limitations [SAFETEA-LU 6002]	FHWA	FHWA	FHWA
Section 106 Actions [36 CFR 800] Pursuant to Delegation Letter of Agreement	UDOT(1)/FHWA	UDOT(1)/FHWA	UDOT(1)/FHWA
Preliminary Design			
Concept Definition Report [FDM 3-5-1]	UDOT	UDOT	UDOT
Consultant Selection [FDM 8-30-1]	UDOT	UDOT	UDOT
Project Design Criteria (PDC)	FHWA	UDOT	UDOT
Interstate System Access Change	FHWA	FHWA	NA
Public interest finding with respect to airport-highway clearance [23 CFR 620.104]	FHWA	UDOT(3)	NA
Detailed Design			
Approve exceptions to design standards [23 CFR 625.3(f)]	FHWA	UDOT(1,2)	UDOT
Approve preliminary plans for major and unusual structures	FHWA	UDOT(1)	UDOT
Approve retaining right-of-way encroachments [FDM 12-1-1, 12-30-1]	FHWA	UDOT	UDOT
Approve use of negotiated contracts [FDM 3-20-11,12]	FHWA	UDOT	UDOT

APPROVAL ACTION	Approval Authority		
	High Profile Projects	NHS PROJECTS (Delegated Projects)	Non-NHS PROJECTS
Approve the use of proprietary products, processes [23 CFR 635.411] [FDM19-1-5]	FHWA	UDOT	UDOT
Approve use of publicly owned equipment [23 CFR 635.106]	FHWA	UDOT	UDOT
Concur in use of publicly furnished materials [23 CFR 635.407]	FHWA	UDOT	UDOT
Federal Aid Project Modification [23 CFR 630.110]	FHWA	UDOT	UDOT
PS&E and Advertising			
Access Justification Reports [Feb. 1998, Federal Register, Vol. 63, #28]	FHWA	FHWA	FHWA
Approve consultant agreements [23 CFR 172.7 - 172.9]	FHWA	UDOT	UDOT
Approve exceptions to maximum railroad protective insurance limits [23 CFR 646.111]	FHWA	UDOT	UDOT
Approve hiring of consultant to serve in a "management" role	FHWA	UDOT	UDOT
Approve plans, specifications and estimates [23 CFR 630.205, 23 USC 106]	FHWA	UDOT	UDOT
Approve use of consultants by utility companies [23 CFR 645.109(b)]	FHWA	UDOT	UDOT
Approve utility and railroad agreements [23 CFR 645.113 & 646.216]	FHWA	UDOT	UDOT
Authorize advance construction and conversions [23 CFR 630.703 & 709]	FHWA	FHWA	FHWA
Authorize advertising for bids [23 CFR 635.112]	FHWA	UDOT	UDOT
Authorize utility or railroad force account work [23 CFR 645.113 & 646.216]	FHWA	UDOT	UDOT
Design Exceptions [23 CFR 625.3]	FHWA	UDOT	UDOT
Exempt bridge from Coast Guard permit requirements [23 CFR 650.805]	FHWA	FHWA	FHWA
Value Engineering [23 CFR 627]	FHWA	FHWA	FHWA
Construction			
Accept materials certification [23 CFR 637.207]	FHWA	UDOT	UDOT
Approve addenda during advertising period [23 CFR 635.112]	FHWA	UDOT	UDOT
Approve advertising period less than three weeks [23 CFR 635.112]	FHWA	FHWA	FHWA
Approve changes and extra work (23 CFR 635.120) [C&M Manual, Chapter 2]	FHWA	UDOT	UDOT
Approve construction engineering by local agency [23 CFR 635.105]	FHWA	UDOT	UDOT
Approve contract time extensions (23 CFR 635.120 & 121) [C&M Manual, Chapter 2]	FHWA	UDOT	UDOT
Approve cost effectiveness and emergency determinations for contracts awarded by other than competitive bidding [23 CFR 635.104 & 204]	FHWA	FHWA	FHWA

APPROVAL ACTION	Approval Authority		
	High Profile Projects	NHS PROJECTS (Delegated Projects)	Non-NHS PROJECTS
Authorization to Advertise and Approve Project Agreements [23 CFR 635.309, 23 CFR 630 subpart A]	FHWA	UDOT	UDOT
Bid Price Data (FHWA-45) [23 CFR 635.113, FAPG CH 6 G 6011.10]	FHWA	UDOT	UDOT
Buy America Waiver [23 CFR 635.410] Submit to HQ if >\$50K	FHWA	FHWA	FHWA
Concur in award of contract [23 CFR 635.114]	FHWA	UDOT(1)	UDOT
Concur in rejection of all bids [23 CFR 635.114]	FHWA	UDOT(1)	UDOT
Concur in settlement of contract claims [23 CFR 635.124] (C&M Manual, Chapter 2)	FHWA	UDOT(1)	UDOT
Concur in termination of contracts [23 CFR 635.125]	FHWA	UDOT(1)	UDOT
Concur in use of mandatory borrow/disposal sites [23 CFR 635.407]	FHWA	UDOT	UDOT
Federal Aid Project Modification [23 CFR 630.110]	FHWA	UDOT	UDOT
Final inspection/acceptance of completed work [23 USC 114(a)]	FHWA	UDOT	UDOT
Force Account Waiver [23 CFR 635B]	FHWA	UDOT	UDOT
Incentive/Disincentive Amount Justification [23 CFR 635.127]	FHWA	UDOT	UDOT
Innovative Contracting Requirements [SEP 14 & 15]	FHWA	FHWA	FHWA
Statement of Materials & Labor Used by Contractors on Hwy. Constr. Involving Fed Funds FHWA-47 [23 CFR 635.126]	FHWA	UDOT	UDOT
Subcontracting Requirements [23 CFR 635.116(b)]	FHWA	UDOT	UDOT
Warranties [23 CFR 635.413]	FHWA	UDOT	UDOT
Research			
Experimental Features [FAPG Ch. 6, Sect G 6042.4]	FHWA	UDOT	UDOT
ADMINISTRATION			
Financial Management			
Approve vouchers	FHWA	FHWA	FHWA
1.9 Waiver	FHWA	FHWA	FHWA
OTHER			
Emergency Relief (ER) Damage Assessments and Reports [23 CFR 668, 23 USC 120 and 125]	FHWA	FHWA	FHWA
Footnotes:			
(1) Informational copy to FHWA. (Record keeping and reporting)			
(2) Exceptions for vertical clearance are subject to coordination with the Military Traffic Management Command for the "26,000 mile priority			
(3) Approvals, if any, will be those required by State laws, regulations, policies, and procedures. However, this does not relieve the UDOT from responsibility for these areas, nor from compliance with non-Title 23 Federal requirements, which may remain applicable.			
(4) FHWA approval on Interstate Projects only			
NOTE: Major Projects (federally funded projects >\$500M) will be administered in accordance with an individual Project Management Plan			

APPENDIX D – GLOSSARY OF TERMS

CFR – Code of Federal Regulations

Control Document – Applicable standards, policies, processes, procedures, and standard specifications that are acceptable and agreed to by the FHWA and the UDOT for application in the geometric and structural design and construction of highways.

Core Elements – Activities that make up the main elements of the Federal-aid oversight responsibilities based on regulations and national policies. Core elements in the FHWA, Utah Division Office, are Planning, Environment, Right-of-Way, Design, Construction, Finance, Operations, System Preservation, Safety, and Civil Rights.

Delegated Projects – Projects that do not require FHWA to review and approve actions pertaining to design, plans, specifications, estimates, right-of-way certification statements, contract awards, inspections, and final acceptance of Federal-aid projects on a project-by-project basis.

FAHP – Federal-Aid Highway Program

FIRE – Financial Integrity Review and Evaluation

FMFIA – Federal Managers' Financial Integrity Act

FHWA – Federal Highway Administration

ISETEA – Intermodal Surface Transportation Efficiency Act of 1991.

Major Projects – Projects with an estimated total cost greater than \$500 million, or projects approaching \$500 million with a high level of interest by the public, Congress, or the Administration.

NHS – National Highway System

Oversight – The act of ensuring that the Federal-aid highway program is delivered consistent with laws, regulations, and policies. Oversight is the compliance or verification component of stewardship activities. Oversight activities allow the FHWA and the UDOT to verify the effective delivery and operation of the transportation system envisioned in statutes

NEPA – National Environmental Policy Act

Performance Indicators/Measures – These indicators track performance trends, the health of the Federal-aid Highway Program, and indicate where compliance with Federal requirements may be a challenge.

PDIT – Program Delivery Improvement Tool – Draft Document used.

PS&E – Plans, Specifications, & Estimates

Risk Management – The systematic identification, assessment, planning, and management of threats and opportunities faced by FHWA projects and programs. Draft Document: An Interim User Guide to the Risk Management Framework, January 30, 2006.

Stewardship – The efficient and effective management of the public funds that have been entrusted to FHWA and delegated to the SHA.

SAFETEA-LU – Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users of 2005.

TEA-21 – Transportation Equity Act for the 21st Century of 1998.

UDOT – Utah Department of Transportation

USC – U.S. Code